

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Jonathan Appavoo, et al.

Examiner: Unassigned

Serial No: To Be Assigned

Art Unit: Unassigned

Filed: Herewith

Docket: YOR920030317US1 (16856)

For: ACHIEVING AUTONOMIC
BEHAVIOR IN AN OPERATING
SYSTEM VIA A HOT-SWAPPING MECHANISM

Dated: September 29, 2003

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.97 and 1.98, it is requested that the following references, which are also listed on the attached Form PTO-1449, be made of record in the above-identified case.

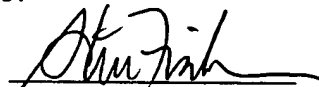
1. M. Makpangou, et al., "Fragmented Objects for Distributed Abstractions", *Advances in Distributed Systems. IEEE*, Pages 1-27; October 1991;
2. Dylan McNamee, et al., "Specialization Tools and Techniques for Systematic Optimization of System Software", *ACM Transactions on Computer Systems*, Vol. 19, No. 2, Pages 217-251; May 2001;

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

"Express Mail" Mailing Label Number: EV 247989733 US
Date of Deposit: September 29, 2003

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Commissioner for Patents, P.O. Box Alexandria, VA 22313-1450 on September 29, 2003.

Dated: September 29, 2003


Steven Fischman

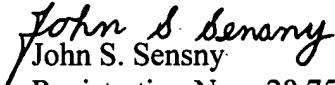
3. J. Magee, et al., "A Constructive Development Environment for Parallel and Distributed Programs", *In Proceedings of the Second International Workshop on Configurable Distributed Systems*, Pittsburgh, Pennsylvania, March 1994;
4. P.E. McKenney, et al., "Read-Copy Update: Using Execution History to Solve Concurrency Problems", *International Conference on Parallel and Distributed Computing and Systems*; 1998;
5. "Distributed Computing Environment", *Open Software Foundation*; An Overview – January 1992;
6. B.N. Bershad, et al. "Extensibility, Safety and Performance in the SPIN Operating System", *Proceedings of the 15th Symposium on Operating System Principles*, Copper Mountain, CO, Pages 267-284; December 1995;
7. D.R. Engler, et al., "Exokernel: An Operating System Architecture for Application-Level Resource Management", *In Proc. 15th ACM SOSOP*, Copper Mountain, CO, USA, Pages 251—266; December 1995;
8. G. Hjálmtýsson, et al., "Dynamic C++ Classes A Lightweight Mechanism to Update Code in a Running Program", *Proceedings of the USENIX Annual Technical Conference*, New Orleans, Louisiana; June 1998;
9. M. Hicks, et al., "Dynamic Software Updating", *In Proceedings of the ACM SIGPLAN Conference on Programming Language Design and Implementation*, Pages 13-23; June 2001;
10. P.Homburg, et al., "An Object Model for Flexible Distributed Systems", *In Proceedings 1st Annual ASCI Conference*, Pages 69-78, Heijen, The Netherlands; May 1995;
11. M. Seltzer, et al., "An Introduction to the Architecture of the VINO Kernel", *Technical Report TR 34—94, Harvard University Computer Science*; November 1994;
12. R. Unrau, et al., "Hierarchical Clustering: A structure for Scalable Multiprocessor Operating System Design", *Technical Report 268, Computer Systems Research Institute, University of Toronto*; 1993;
13. Z. Yang, et al., "CORBA: A Platform for Distributed Object Computing (A State-of-the-Art Report on OMG/CORBA)", *ACM Operating Systems Review*, Volume 30, Number 2, Pages 4-31; April 1996;
14. SUN Microsystems, Inc., Java Remote Method Invocation-Distributed Computing for Java", White Paper; June 2002; and

15. C. Pu, et al., "Optimistic Incremental Specialization: Streamlining a Commercial Operating System", *In Proceedings of the 15th ACM Symposium on Operating Systems Principles (SOSP'95)*, Pages 314-324, December 1995.

Applicants are submitting copies of the above-cited references.

Inasmuch as this Information Disclosure Statement is being submitted in accordance with the schedule set out in 37 C.F.R. § 1.97(b), no statement or fee is required.

Respectfully submitted,


John S. Sensny
Registration No.: 28,757
Attorney for Applicants

Scully, Scott, Murphy & Presser
400 Garden City Plaza
Garden City, New York 11530
(516) 742-4343

JSS:jy

Form PTO-1449 U.S. DEPARTMENT OF COMMERCE (REV. 7-80) PATENT AND TRADEMARK OFFICE LIST OF REFERENCES CITED BY APPLICANT (Use several sheets if necessary)				Atty. Docket N . YOR920030317US1 (16856)		Serial No. Unassigned	
				Applicant Jonathan Appavoo, et al.			
				Filing Date Herewith		Group Unassigned	

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (if appropriate)

		Foreign Document Number	Date	Country	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)			
	M. Makpangou, et al., "Fragmented Objects for Distributed Abstractions", <i>Advances in Distributed Systems. IEEE</i> , Pages 1-27; October 1991;		
	Dylan McNamee, et al., "Specialization Tools and Techniques for Systematic Optimization of System Software", <i>ACM Transactions on Computer Systems</i> , Vol. 19, No. 2, Pages 217-251; May 2001;		
	J. Magee, et al., "A Constructive Development Environment for Parallel and Distributed Programs", In <i>Proceedings of the Second International Workshop on Configurable Distributed Systems</i> , Pittsburgh, Pennsylvania, March 1994;		
<table style="width: 100%;"> <tr> <td style="width: 40%;">EXAMINER</td> <td>DATE CONSIDERED</td> </tr> </table>		EXAMINER	DATE CONSIDERED
EXAMINER	DATE CONSIDERED		

* EXAMINER: Initial if reference considered, whether or not citation is in conformity with MPEP 609; draw line through citation if not in conformity and not considered. Include copy of this form with next communication to applicant.

**LIST OF REFERENCES
CITED BY APPLICANT**

(Use several sheets if necessary)

Atty. Docket No.
YOR920030317US1 (16856)

Serial N .
Unassigned

Applicant
Jonathan Appavoo, et al.

Filing Date
Herewith

Group
Unassigned

U.S. PATENT DOCUMENTS

EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (if appropriate)

		Foreign Document Number	Date	Country	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	P.E. McKenney, et al., "Read-Copy Update: Using Execution History to Solve Concurrency Problems", <i>International Conference on Parallel and Distributed Computing and Systems</i> ; 1998;
	"Distributed Computing Environment", <i>Open Software Foundation</i> ; An Overview - January 1992;
	B.N. Bershad, et al. "Extensibility, Safety and Performance in the SPIN Operating System", <i>Proceedings of the 15th Symposium on Operating System Principles</i> , Copper Mountain, CO, Pages 267-284; December 1995;

EXAMINER

DATE CONSIDERED

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Atty. Docket No.
YOR920030317US1 (16856)

Serial N .
Unassigned

**LIST OF REFERENCES
CITED BY APPLICANT**

Applicant
Jonathan Appavoo, et al.

Filing Date
Herewith

Group
Unassigned

(Use several sheets if necessary)

U.S. PATENT DOCUMENTS

EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If appropriate)

		Foreign Document Number	Date	Country	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	D.R. Engler, et al., "Exokernel: An Operating System Architecture for Application-Level Resource Management", In <i>Proc. 15th ACM SOSOP</i> , Copper Mountain, CO, USA, Pages 251-266; December 1995;G.
	Hjálmtýsson, et al., "Dynamic C++ Classes A Lightweight Mechanism to Update Code in a Running Program", <i>Proceedings of the USENIX Annual Technical Conference</i> , New Orleans, Louisiana; June 1998;
	M. Hicks, et al., "Dynamic Software Updating", In <i>Proceedings of the ACM SIGPLAN Conference on Programming Language Design and Implementation</i> , Pages 13-23; June 2001;

EXAMINER

DATE CONSIDERED

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449 U.S. DEPARTMENT OF COMMERCE (REV. 7-80) PATENT AND TRADEMARK OFFICE LIST OF REFERENCES CITED BY APPLICANT (Use several sheets if necessary)				Atty. Docket No. YOR920030317US1 (16856)		Serial N . Unassigned	
				Applicant Jonathan Appavoo, et al.			
				Filing Date Herewith		Group Unassigned	

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (if appropriate)

		Foreign Document Number	Date	Country	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)			
	P.Homburg, et al., "An Object Model for Flexible Distributed Systems", In <i>Proceedings 1st Annual ASCI Conference</i> , Pages 69-78, Heijen, The Netherlands; May 1995;		
	M. Seltzer, et al., "An Introduction to the Architecture of the VINO Kernel", <i>Technical Report TR 34-94</i> , Harvard University Computer Science; November 1994;		
	R. Unrau, et al., "Hierarchical Clustering: A structure for Scalable Multiprocessor Operating System Design", <i>Technical Report 268</i> , Computer Systems Research Institute, University of Toronto; 1993;		
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 40%;">EXAMINER</td> <td>DATE CONSIDERED</td> </tr> </table>		EXAMINER	DATE CONSIDERED
EXAMINER	DATE CONSIDERED		

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**LIST OF REFERENCES
CITED BY APPLICANT**

(Use several sheets if necessary)

Atty. Docket N .
YOR920030317US1 (16856)

Serial No.
Unassigned

Applicant
Jonathan Appavoo, et al.

Filing Date
Herewith

Group
Unassigned

U.S. PATENT DOCUMENTS

EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If appropriate)

		Foreign Document Number	Date	Country	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

		Z. Yang, et al., "CORBA: A Platform for Distributed Object Computing (A State-of-the-Art Report on OMG/CORBA)", <i>ACM Operating Systems Review</i> , Volume 30, Number 2, Pages 4-31; April 1996;
		SUN Microsystems, Inc., Java Remote Method Invocation-Distributed Computing for Java", White Paper; June 2002; and
		C. Pu, et al., "Optimistic Incremental Specialization: Streamlining a Commercial Operating System", <i>In Proceedings of the 15th ACM Symposium on Operating Systems Principles (SOSP'95)</i> , Pages 314-324, December 1995.

EXAMINER

DATE CONSIDERED

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.